

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE
(REV. 12-2004)

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER

H&U122

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

not known **10/525558**INTERNATIONAL APPLICATION NO.
PCT/EP2004/006886INTERNATIONAL FILING DATE
25 June 2004PRIORITY DATE CLAIMED
26 June 2003

TITLE OF INVENTION

PLASMID-FREE CLONE OF E. COLI STRAIN DSM 6601

APPLICANT(S) FOR DO/EO/US

Hacker et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☒ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No.
23. ☒ Other items or information:

Verification of translation; Claim for Priority; Certificate of Express Mailing; postcard receipt; Substitute Specification -- marked-up version

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. (if known) See 37 CFR 2.5 10/525558 not known		INTERNATIONAL APPLICATION NO. PCT/EP2004/006886		ATTORNEY'S DOCKET NUMBER H&U122	
24. The following fees are submitted:				Applicant use	Office use
<input checked="" type="checkbox"/>	a) Basic national fee	\$300.00	\$	\$300.00	
<input checked="" type="checkbox"/>	b) Examination fee	\$200.00	\$	\$200.00	
<input checked="" type="checkbox"/>	c) Search fee	\$500.00	\$	\$500.00	
TOTAL OF ABOVE CALCULATIONS =			\$	\$1,000.00	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	RATE		
- 100 =	/50 =		x \$250.00	\$	\$0.00
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	6 - 20 =	0	x \$50.00	\$	\$0.00
Independent claims	2 - 3 =	0	x \$200.00	\$	\$0.00
MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/>			+ \$360.00	\$	\$0.00
TOTAL OF ABOVE CALCULATIONS =				\$	\$1,000.00
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	\$500.00
SUBTOTAL =				\$	\$500.00
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	\$0.00
TOTAL NATIONAL FEE =				\$	\$500.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				\$	\$0.00
TOTAL FEES ENCLOSED =				\$	\$500.00
Amount to be refunded:					\$
Amount to be charged:					\$
a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>\$500.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>500867</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.					
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.					
SEND ALL CORRESPONDENCE TO:					
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of

In Re Application of

Hacker et al.

Group Art Unit: not known

Application No. not known

Examiner: not known

Priority claimed from: PCT/EP2004/006886 (filed June 25, 2004) and
German application 103 28 669.1 (filed June 26, 2003)

Filed: February 24 2005


For: Plasmid-Free Clone of E. Coli Strain DSM6601

* * * * *
CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 C.F.R. 1.10)

I hereby certify that the following correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 in an envelope addressed to: The Commissioner for Patents, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450, on **February 24, 2005:**

- (1) Transmittal Letter for to the US Designated/Elected Office Concerning a Filing Under 35 U.S.C. 371 (2 pages, in duplicate)
- (2) US Utility application (labeled Substitute Specification—clean version)(14 pages, incl. 3 sheets of Figs)
- (3) Substitute Specification—marked up version (15 pages, incl. 3 sheets of Figs)
- (4) Copy of International Patent Application PCT/EP2004/006886 (13 pages, in German)
- (5) English translation of International Patent Application PCT/EP2004/006886 (19 pages)
- (6) Verification of translation (1 page)
- (7) Preliminary Amendment (4 pages)
- (8) Claim for priority (1 page)
- (9) International Search Report (6 pages)
- (10) Check for \$500.00 (\$500 filing fees for small entity)
- (11) certificate of express mailing
- (12) postcard receipt listing all enclosed items

Express Mail Mailing
Label Number: EU756888144US


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